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Date: July 8, 2004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Karl W. Terry et al.) Atty. Dkt. No. 7124.015

Serial No.: 09/938,039)

Filed: August 23, 2001)

For: COMPOSITION FOR PROVIDING AN ABRASION RESISTANT COATING ON A
SUBSTRATE WITH A MATCHED REFRACTIVE INDEX AND CONTROLLED
TINTABILITY

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] Forms PTO/SB/08A and 08B (formerly Form PTO-1449)
3. [] Statement as to Information Not Found in Patents or Publications
4. [] Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. [] Cumulative Patents or Publications
6. [] Copies of Listed Information Items Accompanying this Statement

- 7. ☐ Concise Explanation of Non-English Language Listed Information Items
 - 7A. ☐ EPO Search Report
 - 7B. ☐ English Language Version
- 8. ☐ Translation(s) of Non-English Language Documents
- 9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
- 10. ☒ Identification of Person(s) Making this Information Disclosure Statement

Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Forms PTO/SB/08A and 08B (formerly Form PTO-1449)

- ☒ A completed Form PTO/SB/08A and/or Form PTO/SB/08B is attached hereto.

Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)

Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. _____, filed on _____ (date).

(complete the following, if applicable)

- ☐ This application also relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. _____, filed on _____ (date).

The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore, are not required to be provided in this application:

Section 5. Cumulative Patents or Publications

STATEMENT

_____ is cumulative of the following patents or publications listed on Form PTO-1449:

In accordance with 37 C.F.R. § 1.98(c), a copy of only _____ is being submitted with this Information Disclosure Statement.

Section 6. Copies of Listed Information Items Accompanying this Statement

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

- ☐ Exception(s) to above:
- ☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4.
- ☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 7A. Concise Explanation of Non-English Language Listed Information Items - EPO Search Report

The relevance with respect to the following citations listed on Form PTO-1449:

is submitted on the basis of accompanying:

(check the appropriate item)

- ☐ EPO search report that is in the English language,
- ☐ EPO search report that is not in the English language and that is accompanied also by an English language version of the EPO search report,

that issued on the corresponding European patent application.

**Section 7B. Concise Explanation of Non-English Language Listed Information Items
- English Language Version of EPO Search Report**

Section 8. Translation(s) of Non-English Language Documents

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

(complete the following, if applicable)

- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

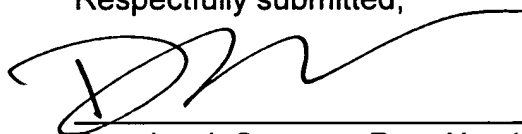
**Section 9. Concise Explanation of English Language Listed Information Items
(OPTIONAL)**

Section 10. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the agent/attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the agent/attorney's file

Respectfully submitted,



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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Supplemental)

(use as many sheets as necessary)

Complete if Known	
Application Number	09/938,039
Filing Date	08/23/2001
First Named Inventor	Karl W. Terry et al.
Group Art Unit	1712
Examiner Name	M. Zimmer
Attorney Docket Number	RECEIVED

U. S. PATENT DOCUMENTS						JUL 08 2004
EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document DD-MM-YY	Pages, Lines, Figures, or Relevant Passages or Relevant Figures Appear
		3780132		Lohr	12/18/1973	
		3922440		Wegworth et al.	11/25/1975	
		4027073		Clark	05/31/1977	
		4081421		Yoshida et al.	03/28/1978	
		4211823		Suzuki et al.	07/08/1980	
		4355135		January	10/19/1982	
		4390373		White et al.	06/28/1983	
		4405679		Fujoika et al.	09/1983	
		4442168		White et al.	04/10/1984	
		4485130		Lampin et al.	11/27/1984	
		4594290		Fischer et al.	06/10/1986	
		4756827		Mayer	07/12/1988	
		5013608		Guest et al.	05/1991	
		5013788		Nagashima et al.	05/07/1991	
		5102695		Guest et al.	04/07/1992	
		5120811		Glotfelter et al.	06/09/1992	
		5314947		Sarawagi	05/24/1994	
		5316791		Farber et al.	05/31/1994	
		5367019		Sawaragi	11/22/1994	

U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code ² (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5789082		Treadway	08/04/1998	
		5789476		Iryo et al.	08/1998	
		5907000		Treadway	05/1999	
		5919860		Roesler et al.	07/1999	
		5958514		Havey et al.	09/28/1999	
		6001163		Havey et al.	12/1999	
		6057039		Takeshita et al.	05/2000	
		6342097		Terry et al.	01/29/2002	
		6346331		Harvey et al.	02/12/2002	
		6348269		Terry	02/19/2002	
		6538092		Terry et al.	03/25/2003	

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OFFICE OF PETITIONS

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Ci te No 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Kind Code5 Office 3	Number 4	(If known)				
		2071692	Canada			12/26/1992		
		DE4020316 A1	Germany			01/09/1992		
		DE4118826 A1	Germany			12/12/1991		
		EPO407174 A	EP			01/09/1991		
		EPB0570165	EPB			10/29/1997		
		EPB0601782	EPB			05/28/1997		
		EPO526975 A2	EPO			02/10/1993		
		JP4198379	Japan			07/17/1992		
		JP446975	Japan			02/17/1992		
		JP58141250	Japan			08/22/1983		
		WO9516522	PCT			06/22/1995		
		WO9629154	PCT			09/26/1996		
		WO9846692A	PCT			10/22/1998		

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Ci te No 1	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear	T*
		Kind Code5 Office 3	Number 4 (if known)				
		WO00/24831	PCT		05/04/2000		
		07-291817	Japan		11/1995		
		09-118757	Japan		05/1997		

U.S. and Foreign: ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). ⁴Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

EXAM INIT.	PATENT DOCUMENTS	
	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
	Chemical Abstract, Vol. 126, No. 1, January 1997, Columbus, Ohio, US; Abstract No. 9335, KATO, H., E.A.: "Siloxane coat compositions with improved resistance to abrasion, UV, and heat for plastic optical materials" XP002075220 (see abstract & JP 08 239 627 A (Ito Optical Ind Co. Ltd.)	
	"Cycloaliphatic Epoxide Based Sol-Gel Derived Materials"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346 Sigel, Domszy and Welch	
	"New Type of A Sol-Gel-Derived Inorganic-Organic Nanocomposite"; Better Ceramics Through Chemistry VI, Material Research Society Symposium Proceedings, 1994, V. 346, Kasemann, Schmidt, Wintrich	

Non Patent Documents: ¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature:

Date Considered:

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. **Place of Publication refers to name of publication in which the information was published.